



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/819,814	03/29/2001	Hideyuki Torii	019952-157	1452

7590

03/23/2006

Platon N. Mandros  
BURNS, DOANE, SWECKER & MATHIS, L.L.P.  
P.O. Box 1404  
Alexandria, VA 22313-1404

EXAMINER

KARMIS, STEFANOS

ART UNIT

PAPER NUMBER

3624

DATE MAILED: 03/23/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/819,814	<b>Applicant(s)</b> TORII, HIDEYUKI	
	<b>Examiner</b> Stefano Karmis	<b>Art Unit</b> 3624	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 29 March 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-12 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-12 is/are rejected.
- 7) ☒ Claim(s) 1-12 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. The following application filed on 29 March 2001 has been reviewed. Original claims 1-12 are currently pending.

#### ***Claim Objections***

2. Claims 1-12 are objected to because of the following informalities: The claims contain grammatical errors needing correction. For example, claim 1 contains states “enabling an large number” but it should be “enabling a large number.” Claim 3 should recite, “in accordance with the level of security desired” or something similar. Review of grammar is appropriate for all claims. Appropriate correction is required.

#### ***Claim Rejections - 35 USC § 112***

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:  
  
The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.
4. Claims 1-12 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which Applicant regards as the invention.

Claims 1, 4 and 7 recite “An assets management method,” however it is unclear what kind of assets Applicant is referring to. Applicant also mentions “managing access of user resources” and but it appears that the access by users is to a risk and earnings management apparatus. It is unclear whether the resource being accessed is the risk and earnings management

Art Unit: 3624

apparatus. Claim 1, 4 and 7 also states that access is managed by “history authentication.”

However there are no steps that show the manner in which history authentication is performed.

Without such steps, it is unclear what information “history authentication” utilizes in managing access of user resources.

Regarding claims 4 and 7, the limitation of “calculation processing means for processing the input data and obtains output data” renders the claim indefinite. It is unclear what is actually being calculated as well as what information is being used to perform the calculation. For these reasons, independent claims 1, 4, 7 and 10 are rejected as being indefinite for failing to particularly point out and distinctly claim the subject matter which Applicant regards as the invention.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

6. Claims 1-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wallman U.S. Patent 6,996,539 in view of Bahl et al. (hereinafter Bahl) U.S. Patent 6,834,341.

Regarding claims 1 and 4, Wallman teaches an assets management method comprising the steps of: managing access of user resources by providing authentication management means for managing users or managed assets and performing authentication management, in a risk and earnings management apparatus which generates data on risk management and earnings management by using input assets data (column 15, lines 32-53, column 17, lines 42-48, column 19, lines 33-36, column 20, lines 29-36 and column 29, lines 25-34); and enabling a large number of users to access said risk and earnings management apparatus via a network (column 15, lines 20-31). Wallman fails to teach history authentication. Bahl teaches an authentication method and system for accessing networks in which a user is authenticated using history information 9column 3, line 54 thru column 14, line 22). It would've been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the encryption and authentication teachings of Wallman and include history authentication as taught by Bahl because it provides a greater level of security when accessing sensitive information over a network, such as financial information.

Claims 2 and 5, Wallman teaches that the authentication management means provides authorization to utilize the resources in the risk and earnings management apparatus based on user or managed assets (column 11, lines 20-50 and column 29, lines 25-34).

Art Unit: 3624

Claims 3 and 6, wherein data transmitted between said user and said risk and earnings management apparatus via the network is encrypted in accordance with level of security desired (column 29, lines 25-34).

Regarding claims 7 and 10, Wallman teaches a risk and earnings management apparatus comprising the steps of: data management means for storing and searching for input/output data for respective user or managed assets, calculation processing means for processing the input data and obtain output data, authentication management means for managing the users or managed assets and performing authentication management (column 15, lines 32-53, column 17, lines 42-48, column 19, lines 33-36, column 20, lines 29-36 and column 29, lines 25-34); and network connection management means for performing flow control and data encryption and compression/decompression (column 15, lines 20-31). Wallman fails to teach history authentication. Bahl teaches an authentication method and system for accessing networks in which a user is authenticated using history information 9column 3, line 54 thru column 14, line 22). It would've been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the encryption and authentication teachings of Wallman and include history authentication as taught by Bahl because it provides a greater level of security when accessing sensitive information over a network, such as financial information.

Claims 8 and 11, Wallman teaches that the authentication management means provides authorization to utilize the resources in the risk and earnings management apparatus based on user or managed assets (column 11, lines 20-50 and column 29, lines 25-34).

Art Unit: 3624

Claims 9 and 12, wherein data transmitted between said user and said risk and earnings management apparatus via the network is encrypted in accordance with level of security desired (column 29, lines 25-34).

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Stefano Karmis whose telephone number is (571) 272-6744. The examiner can normally be reached on M-F: 8-5.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on (571) 272-6747. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Respectfully Submitted  
Stefano Karmis  
15 March 2006

  
HANI M. KAZIMI  
PRIMARY EXAMINER